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EXAMINER

AKPATI, ODAICHE T

ART UNIT PAPER NUMBER

2131

DATE MAILED: 09/12/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/404,427

Applicant(s)

NODA, SHINJI

Examiner

Odaiche T Akpati

Art Unit

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE \_\_\_\_ MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☐ Claim(s) \_\_\_\_ is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-32 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.  
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☒ All b) ☐ Some \* c) ☐ None of:  
1. ☒ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).  
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_.
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_ 6) ☐ Other: \_\_\_\_.

## DETAILED ACTION

### *Claim Rejections - 35 USC § 102*

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1, 2, 7, 11, 22, 23, 28 and 32 are rejected under 35 U.S.C. 102(e) as being anticipated by Kutaragi et al (6122739).

With regards to Claim 1:

The limitation “performing an absolute authentication process for authenticating a recording medium with information for authentication being recorded in a predetermined position therein, according to a first rule at a predetermined time” is met by column 1, lines 32-40.

The limitation “and performing an arbitrary authentication process for authenticating said recording medium according to a second rule at an arbitrary time” is met by column 2, lines 8-12.

With regards to Claim 2:

The limitation “wherein said absolute authentication process is performed when said recording medium starts being accessed for the first time, and said arbitrary authentication

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process is performed at least once after said absolute authentication process” is met by column 2, lines 4-17.

With respect to Claims 7 and 28, the limitation “said recording medium comprises a disk-type recording medium, the information for authentication being modulated radially of said recording medium and recorded therein” is met by column 1, lines 63-67 and column 2, lines 1-3.

With regards to Claim 11, the inherited limitation regarding absolute and arbitrary authentication has already been discussed in Claim 1. The limitation “displaying information representing an authenticated result of either said absolute authentication process or said arbitrary authentication process” is met by Kutaragi, column 4, lines 59-61.

With regards to Claim 22, the limitation “an entertainment apparatus for performing processing operations using programs and data reproduced from a recording medium” is met by Kutaragi et al, on column 3, lines 55-67 and column 4, lines 1-22.

The limitation “absolute authentication means for performing an absolute authentication process for authenticating a recording medium with information for authentication being recorded in a predetermined position therein, according to a first rule at a predetermined time; and arbitrary authentication means for performing an arbitrary authentication process for authenticating said recording medium according to a second rule at an arbitrary time” is met by Kutaragi et al on column 1, lines 32-40 and column 2, lines 8-12.

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With regards to Claim 23, the limitation "wherein said absolute authentication means comprises means for performing said absolute authentication process according to said first rule when said recording medium starts being accessed for the first time, and said arbitrary authentication means comprises means for performing said arbitrary authentication process according to said second rule at least once after said absolute authentication process" is met by Kutaragi et al, column 2, lines 4-17.

With regards to Claim 32, its limitation is similar to Claim 11 limitation and hence has already been discussed above.

Claims 12, 13 and 21 are rejected under 35 U.S.C. 102(e) as being anticipated by Timmermans et al (5737286). *in view of Jones*

*a12  
now do  
in view  
of Jones* With regards to Claim 12, the limitation "disk playback apparatus for playing back information on a disk-type recording medium, comprising absolute authentication means for performing an absolute authentication process for authenticating a recording medium with information for authentication being recorded in a predetermined position therein, according to a first rule at a predetermined time and arbitrary authentication means for performing an arbitrary authentication process for authenticating said recording medium according to a second rule at an arbitrary time" is met by Timmermans et al on column 9, lines 44-50.

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With regards to Claim 13, the limitation "said absolute authentication means comprises means for performing said absolute authentication process according to said first rule when said recording medium starts being accessed for the first time, and said arbitrary authentication means comprises means for performing said arbitrary authentication process according to said second rule at least once after said absolute authentication process" is met by Timmermans et al on column 8, lines 16-20 and column 3, lines 44-54 and 57-64.

With regards to Claim 21, the limitation "further comprising means for forcibly ending a processing being executed if either said absolute authentication process performed by said absolute authentication means or said arbitrary authentication process performed by said arbitrary authentication means does not result in normal authentication" is met by Timmermans et al, column 6, line 46-53.

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 3, 4, 5, 6, 8, 9, 24, 25, 26, 27, 29, 30 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kutaragi et al (6122739) in view of Jones et al (6363163 B1).

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With regards to Claim 3:

The limitation “wherein said first rule in said absolute authentication process is that normal authentication is declared if the information for authentication is detected as being recorded in said predetermined position” is met by Kutaragi, column 1, lines 32-40. Kutaragi however does not discuss an arbitrary authentication process that declares a normal authentication when the authenticating information is not found. Jones et al discloses this.

The limitation “said second rule in said arbitrary authentication process is that normal authentication is declared if the information for authentication is detected as being not recorded” is met by Jones et al, abstract and paragraph 172-173, 177. The abstract talks about the presence of a discrimination unit. This implies that the discrimination unit discriminates between information that reveals or fails to reveal authenticity of the currency bill. In paragraph 173, the location of the thread within the bill is used as an authenticating feature. In paragraph 177, normal authentication is declared when the threads, i.e. the authenticating feature, are not found in the center of the bill, i.e. in an area where it should not occur. Hence, the absence of the thread in an area it is not supposed to be present is interpreted as an authentic bill.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Jones et al to the teachings of Kutaragi because checking an area of the disc where an authenticating feature should not be in leads to a more thorough and reliable authentication process.

With regards to Claim 4:

The limitation “wherein said absolute authentication process comprises an authentication information detecting process for detecting the information recorded in said predetermined position when said recording medium starts being accessed” is met by Kutaragi, column 1, line 32-38.

The limitation “an absolute decision process for declaring normal authentication if the detected information comprises information for authentication” is inherently met by Kutaragi, column 1, lines 32-38 and column 3, lines 8-13.

The limitation “said arbitrary authentication process comprises an arbitrary information detecting process for detecting information from an arbitrary position except said predetermined position on said recording medium” is met by Kutaragi et al, column 2, lines 61-67. The reference here discusses checks performed in the TOC area of the disc for a wobbled code. Since first step of checking a predetermined location for a security code (Kutaragi, column 1, lines 32-38) has already been performed, then this next step naturally should deal with checking the other predetermined areas or TOC area of the disc for the video image. Kutaragi however does not discuss an arbitrary authentication process that declares a normal authentication when the authenticating information is not found. Jones et al discloses this as discussed below.

The limitation “an arbitrary decision process for declaring normal authentication if the detected information does not comprise information for authentication” is met by Jones et al, abstract and paragraph 172-173, 177. The abstract talks about the presence of a discrimination unit. This implies that the discrimination unit discriminates between information that reveals or fails to reveal authenticity of the currency bill. In paragraph 177, normal authentication is declared when the threads, i.e. the authenticating feature, are not found in the center of the bill,



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i.e. in an area where it should not occur. Hence, the absence of the thread in an area it is not supposed to be present is interpreted as an authentic bill.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Jones et al to the teachings of Kutaragi because checking an area of the disc where an authenticating feature should not be in leads to a more thorough and reliable authentication process.

With regards to Claim 5:

The limitation “wherein said first rule in said absolute authentication process is that normal authentication is declared if a signal indicating that the information for authentication is recorded in said predetermined position is received” is inherently met by Kutaragi, column 1, lines 32-40. Kutaragi however does not disclose an arbitrary authentication process that declares a normal authentication when the authenticating information is not found. Jones et al however discloses this as shown below.

The limitation “said second rule in said arbitrary authentication process is that normal authentication is declared if a signal indicating that the information for authentication is not recorded is received” is met by Jones et al, abstract and paragraph 172-173, 177. In paragraph 177, normal authentication is declared when the threads, i.e. the authenticating feature, are not found in the center of the bill, i.e. in an area where it should not occur. Hence, the absence of the thread in an area it is not supposed to be present is interpreted as an authentic bill.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Jones et al to the teachings of Kutaragi because checking

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an area of the disc where an authenticating feature should not be in leads to a more thorough and reliable authentication process.

With regards to Claim 6:

The limitation “comprising the step of employing access means for accessing said recording medium and outputting a normal signal if the information for authentication is recorded in said predetermined position” is met by Kutaragi, column 1, lines 32-40.

The limitation “said absolute authentication process comprising an absolute decision process for declaring normal authentication if said normal signal is received” is inherently met by Kutaragi, column 2, lines 4-17. Kutaragi however does not disclose an arbitrary authentication that indicates an abnormal authentication whenever a normal signal is received. Jones however discloses this as discussed below.

The limitation “said arbitrary authentication process comprising an arbitrary decision process for declaring an abnormal authentication if said normal signal is received” is met by Jones et al, abstract and paragraph 172-173. Jones implies that if the threads are found in the areas that they are not expected to be in, a normal signal is sent out. This normal signal implies that the authenticating feature, i.e. the thread is absent which can be interpreted as an abnormal authentication.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Jones et al to the teachings of Kutaragi because checking an area of the disc where an authenticating feature should not be in leads to a more thorough and reliable authentication process.

With respect to Claim 8:

The inherited limitation regarding the absolute and arbitrary authentication methods regarding Claim 8 is met by Kutaragi and Jones et al and has already been discussed in Claims 3 and 4.

The limitation “wherein said recording medium comprises a disk-type recording medium, the information for authentication being modulated radially of said recording medium and recorded therein” is met by Kutaragi, column 1, lines 63-67 and column 2, lines 1-3.

The limitation “wherein said absolute authentication process and said arbitrary authentication process comprise the steps of detecting a modulated component from said recording medium; detecting the information for authentication from said modulated component; and deciding whether the detected information for authentication is in agreement with predetermined information and recorded in said predetermined position” is met by Kutaragi, column 2, lines 4-12.

The limitation “outputting a normal signal if the detected information for authentication is in agreement with predetermined information and recorded in said predetermined position” is inherently met by Kutaragi, column 2, lines 12-23.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Jones et al to the teachings of Kutaragi because checking an area of the disc where an authenticating feature should not be in leads to a more thorough and reliable authentication process.

With regards to Claim 9, its limitation is similar to Claim 8 limitation. The difference is that Claim 9 further limits the access means described in claim 6. The access means necessary to access and manipulate the recording medium is described in Kutaragi, column 1, lines 38-40.

With regards to Claim 24, the limitation "said first rule in said absolute authentication process performed by said absolute authentication means is that normal authentication is declared if the information for authentication is detected as being recorded in said predetermined position" is met by Kutaragi, column 1, lines 32-40. Kutaragi however does not discuss an arbitrary authentication process that declares a normal authentication when the authenticating information is not found. Jones et al discloses this.

The limitation "said second rule in said arbitrary authentication process performed by said arbitrary authentication means is that normal authentication is declared if the information for authentication is detected as being not recorded" is met by Jones et al, abstract and paragraph 172-173, 177. In paragraph 177, normal authentication is declared when the threads, i.e. the authenticating feature, are not found in the center of the bill, i.e. in an area where it should not occur. Hence, the absence of the thread in an area it is not supposed to be present is interpreted as an authentic bill.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Jones et al to the teachings of Kutaragi because checking an area of the disc where an authenticating feature should not be in leads to a more thorough and reliable authentication process.

With regards to Claim 25, its limitation is similar to Claim 4 limitation and hence has already been discussed above.

With regards to Claim 26, its limitation is similar to Claim 5 limitation and hence has already been discussed above.

With regards to Claim 27, its limitation is similar to Claim 6 limitation and hence has already been discussed above.

With regards to Claim 29, its limitation is similar to Claim 8 limitation and hence has already been discussed above.

With regards to Claim 30, its limitation is similar to Claim 9 limitation and hence has already been discussed above.

Claims 10 and 31 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kutaragi et al (6122739) in view of Timmermans et al (5737286).

With respect to Claim 10, the inherited limitation regarding absolute and arbitrary authentication processes is met by Kutaragi and has already been discussed in Claim 1. The limitation “forcibly ending a processing being executed if either said absolute authentication process or said arbitrary authentication process does not result in normal authentication” is met by Timmermans et al, column 6, line 46-53.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the system of Timmermans et al to the system of Kutaragi et al because a process is needed to evict the illegal disc so as to prevent it from being illegally copied or played.

With respect to Claim 31, its limitation is similar to Claim 10 and hence its rejection is found above in Claim 10 rejection.

Claims 14, 15, 16, 17 are rejected under 35 U.S.C. 103(a) as being unpatentable over Timmermans et al (5737286) in view of Jones et al (6363163 B1).

With regards to Claim 14:

The limitation "said first rule in said absolute authentication process performed by said absolute authentication means is that normal authentication is declared if the information for authentication is detected as being recorded in said predetermined position" is met by Timmermans et al on column 3, lines 51-54. Timmermans however does not discuss an arbitrary authentication process that declares a normal authentication if the authentication information is not found. However, Jones et al discloses this.

The limitation "said second rule in said arbitrary authentication process performed by said arbitrary authentication means is that normal authentication is declared if the information for authentication is detected as being not recorded" is met by Jones et al on paragraph 172-173. Jones reference implies the following. The location of the thread within the bill is used as an authenticating feature. Hence, the presence of the thread in the appropriate area of the bill is interpreted as an authentic bill and likewise, the absence of this same thread in an area expected is also interpreted as an authentic bill. Hence normal authentication will be declared if the authentication information is detected as not recorded.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Jones et al to the teachings of Timmermans et al because

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checking an area of the disc where an authenticating feature should not be in leads to a more thorough and reliable authentication process.

With regards to Claim 15,

The limitation “said absolute authentication means comprises authentication information detecting means for detecting the information recorded in said predetermined position when said recording medium starts being accessed, and absolute decision means for declaring normal authentication if the detected information comprises information for authentication” is met by Timmermans et al as already discussed in Claim 14 rejection. Timmermans however does not discuss an arbitrary authentication process that declares a normal authentication if the authentication information is not found. However, Jones et al discloses this.

The limitation “said arbitrary authentication means comprises arbitrary information detecting means for detecting information from an arbitrary position except said predetermined position on said recording medium, and arbitrary decision means for declaring normal authentication if the detected information does not comprise information for authentication” is met by Jones et al, abstract and paragraphs 172-173 and 177. Paragraph 177 talks about looking at an area other than the predetermined position for location of fluorescing threads. The absence of such fluorescing threads in the center of the bill will signify a normal authentication.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Jones et al to the teachings of Timmermans et al because checking an area of the disc where an authenticating feature should not be in leads to a more thorough and reliable authentication process.

With regards to Claim 16, the limitation is similar to Claim 14 limitation and hence its rejection can be found above.

With regards to Claim 17:

The limitation “access means for accessing said recording medium and outputting a normal signal if the information for authentication is recorded in said predetermined position” is met by Timmermans et al, column 9, lines 44-47, 51-53, column 3, lines 51-54.

The limitation “said absolute authentication means comprising absolute decision means for declaring normal authentication if said normal signal is received” is met by Timmermans et al on column 3, lines 51-54. Timmermans et al however does not discuss an arbitrary authentication process that declares an abnormal authentication when a normal signal is received. Jones however discloses this.

The limitation “said arbitrary authentication means comprising arbitrary decision means for declaring an abnormal authentication if said normal signal is received” is met by Jones et al, abstract and paragraph 172-173. Jones implies that if the threads are found in the areas that they are not expected to be in, a normal signal is sent out. This normal signal implies that the authenticating feature, i.e. the thread is absent which can be interpreted as an abnormal authentication.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Jones et al to the teachings of Timmermans et al so as to allow for a more thorough method for authenticating a recording medium.



Claim 18 is rejected under 35 U.S.C. 103(a) as being unpatentable over Timmermans et al (5737286) in view of Kutaragi et al (6122739).

With regards to Claim 18, the inherited limitation regarding the disk playback apparatus possessing absolute and arbitrary authentication processes has already been discussed in Claim 12 rejection and is met by Timmermans et al.

Furthermore, the limitation "the information for authentication is modulated radially of said recording medium and recorded therein" is met by Kutaragi et al, column 1, lines 63-67 and column 2, lines 1-3.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the system of Kutaragi et al within the system of Timmermans et al so as to store the authentication information on the recording medium.

Claims 19 and 20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Timmermans et al (5737286) in view of Jones et al (6363163 B1) in further view of Kutaragi et al (6122739).

With regards to Claim 19, the inherited limitation of signaling a normal authentication when the authenticating information is not found is met by Jones et al, as discussed in Claim 14.

The limitation "detecting means for detecting the information for authentication from said modulated component" is met by Timmermans et al on column 9, lines 56-60.

The limitation "authentication decision means for deciding whether the detected information for authentication is in agreement with predetermined information and recorded in

said predetermined position, and outputting a normal signal if the detected information for authentication is in agreement with predetermined information and recorded in said predetermined position” is met by Timmermans et al on column 8, lines 16, 24-28. The combination of Timmermans et al and Jones et al however does not discuss a disk playback apparatus having a radially modulated onto the recording medium. Kutaragi et al discloses this.

The limitation “disk playback apparatus according to claim 14, wherein the information for authentication is modulated radially of said recording medium and recorded therein, and wherein said absolute authentication means and said arbitrary authentication means comprise...” is met by Kutaragi et al, column 3, lines 57-59 and column 1, lines 63-67, column 2, lines 1-3.

The limitation “modulated component detecting means for detecting a modulated component from said recording medium” is met by Kutaragi et al, column 1, lines 63-67 and column 2, lines 1-8. The reading of the modulated physical offset in the radial direction of the recording medium implies the existence of a detecting means that performs this function.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to incorporate the system of Kutaragi et al within the combination of Timmermans et al and Jones et al so as to effectively read and be able to access the authentication information from the disc.

With regards to Claim 20, the limitation is similar to Claim 19 and hence its rejection can be found above. The only difference is that Claim 20 possesses an access means, which can be considered to be inherent within the references cited for Claim 19 rejection.

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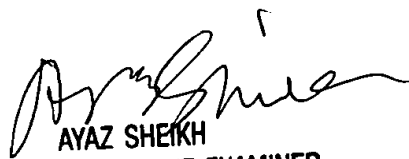
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Odaiche Tracey Akpati whose telephone number is 703-305-7820. The examiner can normally be reached on 8.30am-6.00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on 703-305-9648. The fax phone numbers for the organization where this application or proceeding is assigned are 703-746-7240 for regular communications and 703-746-7238 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305-3900.

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September 8, 2003

  
AYAZ SHEIKH  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100

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